

# **SOCIAL CAPITAL AND SCHOOL ACCOUNTABILITY**

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## **Abstract**

This paper aims to address two main issues: 1) why school accountability must be owned; 2) the role of social capital in establishing school accountability. The study was conducted in SMP Negeri Pakem Sleman DIY Indonesia with teachers and students as research subjects. Data mining is done with a qualitative approach, while data analysis is done with research data categorization, reduction, and interpretation to provide meaning. The research concluded that: 1) the schools accountability is needed to improve the quality of schools, among others: successful student; school improvement cycle; school operation; school report; school review; 2) Schools accountability will be easier to hold if the school has a social capital of trust, cooperation, social norms.

**Keywords:** social capital, school accountability

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## **1. Introduction**

The issue of accountability began to grow as people begin to question the quality of education, equity in education, and the efficiency in the education management. In this case, the school is responsible as formal education institutions due to the less optimal in producing excellent graduates in terms quality and quantity. In terms of quantity, it is evident that the numbers of qualified educational opportunities at all levels of education have not been evenly distributed; even the gap in education continues to be a social phenomenon. In terms of quality, there were questionable issues associated with the management system and the output of education systems. In social reality, it is shown that there is a tendency of ineffective school management due to the low school accountability. In fact, the school as a base management is required to be able to realize the school accountability to the public. A failure to build school accountability due to personal problems that occurred where the individual has not been able to behave is motivated by strong accountability. As a result, there is a tendency that low accountability in complexity in education inherent to the education management, and also it has not been the focus of study in the school. In accordance with school accountability, it will be easier in the school improvement process.

School accountability will be easily realized if the school has a social capital. Social capital is expected to build a social positive energy in building a culture of accountability in the school environment. It is expected to create an academic culture that is needed to improve the

quality of schools. Social capital needs to be explored and developed as working capital which initiated a process of quality improvement for school to be trusted by the community. In accordance with social capital, the school will be faster to build a school performance. This paper will explain the basic concepts of social capital and school accountability, accountability and the quality of education, the role of social capital in building the school accountability, especially in the SMP N Pakem Depok Sleman, Yogyakarta Special Region, DIY

## **2. Method**

The research is carried out in State Junior High Schools in the regency of Sleman, namely 4 State Junior High School Pakem, Sleman DIY, located in sub-urban area with the status International Standardized School (SBI), is the school with outstanding achievement in National Exam. The average score of each subject tested in National Exam is 9. This school ranked the second best for its academic achievement of all schools in the Province of Yogyakarta in 2006. The approach used in this study is qualitative research combined with grounded research using case study on those three schools. The methodology of this research varies from in-depth interview, observation, FDG, participation, questionnaire, and documentation. The key people involved are teachers, headmasters, students, parents, and school committee. The analysis is carried out using some activities such as data reduction, data display, and conclusion/verification.

### 3. Results

#### 3.1 Social Capital and Basic Concepts of Accountability

Social capital (Bourdieu 1986: 248) defined group of sources of actual or potential which associated with ownership of a network that survived from relationships more or less institutionalized while knowing or appreciating each other. While Coleman (in Suharjo, 2014: 73) interpreted the social capital as:

*Social capital is defined by its function. It is not a single entity, but a variety of different entities having two characteristic in common. They all consist of some aspect of social structure and, they facilitate certain action of individuals who are within the structure. Like other form of capital, social capital is productive, making possible the achievement of certain ends that would not be attainable in its absence".*

Another opinion is Putnam (2000: 19), which explains "social capital refers to connections among individuals-social networks and norms of reciprocity and trustworthiness that arise from them. In that sense social capital is closely related to what some have called civic virtue". While Fukuyama (1995: 10) explains that social capital is the ability of people to work together for common purposes in groups or organizations. It can be defined as a state of a set of values or certain informal norms which is mutually used among members of the group that makes cooperation between them. In line with Fukuyama, Woolcock (1998: 153) defines social capital as "the information, trust, and norms of reciprocity inherent in one's social work" (Suharjo, 2014: 73-74).

Social capital is required in applying the principle of accountability. Accountability is an ethical concept that is close to the government public administration, synonymous with the concepts that can be accounted for responsibility that can be questioned (answerability), which can be blamed (blameworthiness) and having a lack of freedom (liability). Accountability related to governance is actually a bit too broad to be defined, but can be described as the relationship between concerning present or future, between the individual and the group as a liability interests, an obligation to inform and explain each actions and decisions to be approved, rejected or punished if there were abuse of authority.

Headington (2008) argues that "Accountability has moral, legal and financial

dimensions and operates at all levels of the education system." These three dimensions are contained in accountability, i.e. moral, legal, and financial demands of the school's responsibility to make it happen, not only to the public but must be initiated by the school citizen itself. According to Headington (2000: 83), "Teacher has a moral and legal responsibility to provide appropriate educational experiences for pupils and to report to parents and other professionals". Headington emphasizes the accountability of teachers, in which the teacher has the responsibility for both students and parents of students to achieve good learning process both morally and formally. Not only teachers but also the agencies related to education, as stated by Headington (2000: 83), "The head teacher and governing body have a legal responsibility to ensure the finances of the school are used effectively to benefit pupils' education" (in Kande, 2008 by Dwiningrum 2015).

According to Zamroni (2008: 12) who defines accountability as "the degree to which local governments have to explain or justify what they have done or failed to do." Further said that "accountability can be seen as validation of participation, in that the test of whether attempts to increase participation prove successful is the extent to which people can use participation to hold a local government responsible for its action". While Sjahruddin Rasul defined accountability as the ability to give an answer to a higher authority for the actions of "person" or "group of people" against society or organization. In the context of government institutions, the leader of government agencies which is responsible as recipient of a mandate, should give an account of the implementation of the mandate to the community or the public. Gharthey defines accountability intended to seek answers to questions related to stewardship that is what, why, who, where, which, and how an accountability should be implemented. While Ledvina V. Carino defines accountability as an evolution of the activities carried out by an officer whether they are on track or was out of the responsibility and authority. Everyone should realize that every action not only will have no effect on them alone but also have impact on others. Dimensions of accountability can be distinguished from the vertical and the horizontal dimension. The difference between these two dimensions can be described as follows (Dwiningrum, 2012,2015) :

Vertical	Horizontal
Concerning the relationship between the school management, communities, schools and parents and between schools and institutions above it (Department of Education).	Concerning the relationship among the school community; between the principal and the committee, and between principals and teachers.

Examined from the dimensions, it concluded that accountability is determined by a process of social interaction that occurs between individuals that has different character and personality; so that the social effects, as result of the process of social interaction, have tendency to be different. In addition, there is a tendency in the social context, in which accountability is also associated with organizational aspects emphasizing on vertical relationships both within the institutional structure and between the institutions.

The differences in the process of social interaction, as the basic form of the establishment of social activity, will have an impact on the building process of accountability in both personal and institutional. Schools as formal educational institutions can be analyzed its accountability, either horizontally or vertically. Both forms of these relationships are crucial in establishing the dynamics of school accountability to improve quality of schools.

### 3.2 Accountability and Quality of Education

Study of accountability in educational institutions is more complex as they relate to the needs of the community. In practice, accountability requires a curriculum relevant to the society needs and management capabilities supported by a strong commitment in realizing the school excellence. In the process, accountability in education requires clear rules and applied consistently by educational institutions. Accountability in educational institutions should be able to maintain the quality in accordance with the demands of society. The quality of education related to the school responsibility to provide best service for the students. The efforts to improve the quality of education by using the approach adopted by the theories of business organization, emphasizes the importance of individual productivity and quality control to produce goods or services in accordance with customer expectations. Arcaro, using various arguments of experts, said that the

basic mission of improving the quality of a school is to develop programs and services that meet the users' needs, such as students and community (1998: 8). In addition, educational institutions with accountability must be able to process and responsible for financial management to the public. In this case, accountability in education is not only measured by the quality of its graduates, but also its financial management in which should be done professionally in accordance with the purpose of educational institutions. It means that accountability in education can be analyzed in the macro and micro level. Analysis Macro analysis is related to the managerial aspects, while in the context of micro analysis is related to the teaching and learning process (Dwiningrum, 2015).

Improving the quality of school is a process to improve the quality of teaching and learning process and the factors associated with it both systematically and continuously, in order to achieve school targets more effectively and efficiently. There are two aspects that need attention; the quality of results and the process achieving such results. One theory emphasizes on improving the quality of school culture within the framework of the model of Total Quality Management (TQM). This theory explains that the quality of schools includes three abilities, which are the ability of academic, social, and moral. Further explanation according to the theory of TQM, the quality of schools is determined by three variables; the school culture, teaching and learning, and the school reality. The first variable, school culture is the values, customs, rituals, slogans, and behaviors that have long been established in the school and passed on from one generation to the next generation, either consciously or unconsciously. It is believed to affect the behavior of all components of the school, the teachers, principals, administrative staff, students, and parents. The school culture is influenced by two variables; external influences and school reality. The first variable, external influence, which is educational policy, can be issued by the government, the development of mass media, and so on. The second variable, the reality of the school is a factual conditions that exist within the schools, such as good physical condition; class roof was leaking, the shower did not have enough water, noisy classroom and others; as well as non-physical conditions, such as the relationship between teachers who are not in harmony, and the rigid school rules. The third variable, the quality of the curriculum and the learning process is a variable that is closest in the determination of the quality of graduates because

it is influenced by internal factors and has a reciprocal relationship with school reality. The internal factor is the institutional aspects of the school, such as how is the organizational structure of the school, how the school principal election is held, how the appointment of teachers is assigned, and so on (Dwiningrum 2012, 2015).

The second theory is a theory that improving the quality of school is influenced by what is called the theory Organizing Business for Excellent developed by Andrew Farmer (2004), which explains that the school improvement begins and starts from the formulation of the school vision. In the school vision statement is contained quality of school to be expected in the future. Vision as a picture of the desired future can be translated into more concrete form as missions, which are statements of what will be done in order to realize the desired future into reality. The concept of the school mission contains two aspects; abstract and the concrete. Leadership and school culture is the abstract concept of the mission, in which the nature and the shape school culture, is strongly influenced by the leadership while school need a living leadership to result in the school culture. On the other hand, the mission contains something that is concrete, i.e., strategies and programs that can be formulated in the written draft. Strategies and programs closely related to school infrastructure, such as the need of presence of the vice principal, homeroom teacher, school committees, libraries, laboratories, and so on. Teaching and learning process as the basis of the quality of schools is determined by school culture and infrastructure. The quality of interaction between teachers and students as a form of teaching process is influenced by the availability of facilities and school infrastructure. Furthermore the quality of the interaction is determined by the school culture. Both have an impact on teaching and learning processes simultaneously, so that it cannot be reduced or sorted out (Dwiningrum 2012, 2015).

A third theory is the "Model for Quality Improvement Factor Four" which explains that the quality of schools is the result of direct influence of teaching and learning process. The quality of the school came from the school vision, which is then translated into the school mission. According to the theory of excellence, the mission contains two aspects, abstract and concrete. The abstract aspect contains the values, such as upholding honesty, hard work, and togetherness. Furthermore, the values will affect the school culture. On the other hand, the concrete aspects contains in the form of strategies and programs, which require the presence of

infrastructure. Another variable are leadership and managerial in determining the quality of teaching and learning process. Related to the leadership variable, there are two aspects, which are the leadership with the ability to move, embed, and affect abstract aspect evoking the spirit of learning among students, instilling a vision on the school community, and so on; and also managerial with the ability in organizing, executing, monitoring, and controlling in concrete. Thus, within the "model for factor four", the quality of teaching and learning process is determined by culture, school, leadership, managerial, and infrastructure (Zamroni, 2011: 6-12 cited by Dwiningrum 2012, 2015).

Quality improvement strategies are related to how to do something to achieve certain goals. Strategy is the art to manage existing resources in order to achieve the intended objectives effectively and efficiently. It determine a long-term goal of an institution and activities that must be done in order to realize these objectives, with the allocation of existing resources so that the objectives can be realized effectively and efficiently. There are three strategic planning related to improve the quality of schools, which is a strategy that emphasizes results (The Output Oriented Strategy), a strategy that emphasizes the process (The Process Oriented Strategy), and The Comprehensive Strategy (Zamroni, 2005: 2 -12 cited by Dwiningrum 2012, 2015).

Based on the theory above, it can be concluded that developing a quality improvement strategy takes a comprehensive approach by considering many factors associated with the elements of education. It requires the synergy of all of components role that involved in the quality of schools improvement process. Improving the quality of schools is determined by the quality management. Based on observations in some schools, there is the tendency that the quality management of education has not been optimal. Even school-based management which was chosen as a model in the management of education has not yet succeeded in generating process that accountable in producing qualified graduates.

The success of school-based management is inseparably linked with the school conditions factors including the ability of the school, principals, community revenue, community participation, school budget and school infrastructure. School-based management emphasizes two important aspects, which are school autonomy and participatory decision that actually pursued by each school to be a school with independence and effective school. Schools

that have the ability to establish a wider network in general, have the faster ability to perform in school improvement. Existence of schools with school-based management is inseparably linked with social capital. The ability of schools in using social capital, i.e. trust, excellence, the potential of the school, is used to develop the quality and competitiveness within the community. The ability of the principal to cooperate with the central government, particularly in accessing information related to the cost of quality improvement, provides an opportunity for schools to get a chance to get these funds compared with schools that are just waiting for information from local authorities about the enhancements of the quality improvement programs.

Social capital owned by the school is a major asset to improve the quality of schools. This is in line with the opinion of James Coleman whereas social capital as the ability of people to work together to achieve common goals in a diverse group of organizations, while Fukuyama defined social capital as a set of values or informal norms that allow the establishment of cooperation between them. As described by Coleman, the ability to associate is a very important asset not only for economic life, but also for any human social existence. However, this ability is very dependent on the conditions in which the community was willing to share to reach the meeting point of the norms and values altogether. If the normative ethical common ground is found, then the individual interests will be subject to community group interests, and shared values will rise up to the so-called trust (Fukuyama, 2002: 12-14).

Trust is the initial capital for the schools to be assessed and selected by the community to send in their children. In this case, the community "trust" to the school is the first step for the school to receive the quality of student input at the time of admission of new students as the "intent" of school every year. This study proved that there is tendency that the schools input average tend to stagnate between schools. It means schools still show the position that has not changed significantly in the last five years in the position of schools with "excellence" or "superior" rate in the community and vice versa.

In the perspective of social capital, it can be assumed that participatory decision made by the principal as well as the trust owned by the school and the community around the school to send their children, is part of the social capital; as there is high demand of public schools that are geographically distant from the access to the city but believed to be a quality school. In this case,

the trust built by schools as a social capital is an important value in establishing school accountability because strong social capital actually making schools more accountable rated by the community.

However, school-based management which is rated as one model of management accountable to improve the quality of schools have not yet applied optimally, so the result was also not optimally achieved. In fact, there is a tendency of teachers still do not yet support the implementation of school-based management optimally as explained by the principal that not all teachers fully support school-based management effectively. As portrayed in addressing curriculum change, not all teachers are able to change the habits of working and teaching and improve it to become more independent, creative, proactive, coordinated, integrated, synchronized, cooperative and professional (Dwiningrum, 2015) .

In the author's observation in multiple classes, there is still a tendency of teachers who teach uncreatively, annoyingly, boringly, and still use teacher-centered teaching method. In this case, the school is gradually trying to provide training and opportunities for teachers to work in a team for teachers who still considered "stagnant" to change. Explained further, at each school on average, there are about 5-15% of the total number of teachers in schools that tends to be difficult to change proactively and innovatively. The problem caused by psychological obstacles, as the inability to respond to the nature of the new programs for intensive socialization yet. That condition is one indicator that the accountability of teachers has not yet been effective.

The complexity of the problems in the implementation of school-based management comes from human resources, both in terms of inputs and processes that were very influential on the output. In terms of input, the main problems experienced by schools were:

1. strong differences in ability among students in the classroom and among one school and another;
2. low commitment among teachers in the classroom and among schools in their profession;
3. low ability of personal leadership and managerial principals.

In the framework Wayne, if elements within the school move systemically in the educational unit, then the condition of the input is guaranteed to be influential in the process. According to the issue of school-based management in the teacher's perspective is

associated with (Dwiningrum, 2012): low motivation of students; low motivation of teachers; unvaried and boring learning methods; teacher competence has not been accompanied by professional ability; weak principal managerial system; weak ongoing evaluation and controls; sustainable programs have not been effectively and independently implemented.

The strategic measures implemented by each school are different, but the SMP N Pakem Sleman DIY programs in changing behavior in schools were as follows:

1. organize the discipline system gradually;
2. arrange the school infrastructure;
3. designing a flagship program
4. fix the value of the final exam;
5. improve the school's image.

Several attempts to increase accountability in school-based management as described by Slamet (2006 cited by Dwiningrum 2015), were by doing some initial steps as follows: a) to develop guidelines for behavior and performance monitoring system of the school organizers and supervision with clear sanctions and firm; b) to make a development plan and communicate it to the public/stakeholders at the beginning of each fiscal year; c) to develop clear indicators of school performance measurement and communicate it to stakeholders; d) to measure the achievement of educational service performance

and deliver the results to the public/stakeholders at the end of the year; e) to respond to public inquiries and complaints, f) to provide information of school activities that will receive educational services to the public, and g) to update plans of new performance as a new commitment agreement.

### 3.3 The Role of Social Capital in the Development of the School Accountability

Building schools accountability is not easy, because it takes a holistic and comprehensive preparation. There are some things that need to be prepared and considered carefully in developing a "School Accountability", as described by Fred Newmam, M.Bruce King and Mark Rigdon (1997), that in discussing about the "School Accountability", the most fundamental thing is how to fix student achievement as the end result. The issue of achievement can be assessed both academic and non-academic. However, in improving school accountability, there are many aspects to consider. As explained in the concept of "School Improvement and Accountability Framework" (2012), there are five components that need to be considered in developing the school accountability: 1). Successful student; 2). School improvement cycle; 3) School operation; 4) School report; 5) School review. The model in the development of "School Accountability" can be described as follows:

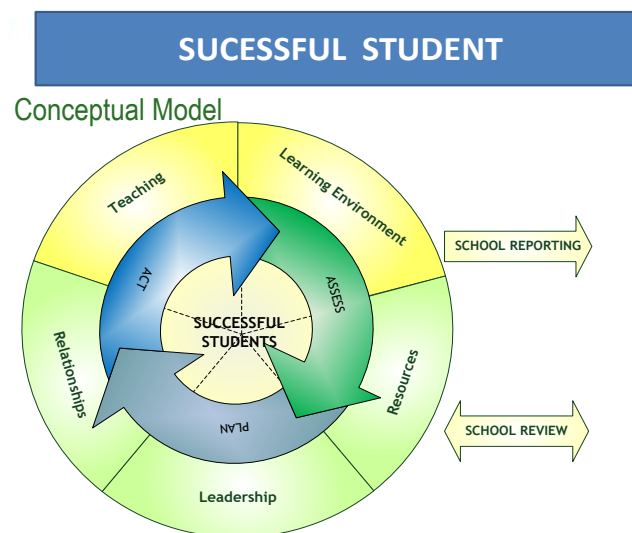


Figure 1.2. Schools Accountability Model Development

Based on figure 1.2 above, it can be concluded that to be successful students in the study determined by the dynamics of the various aspects of dimensions; first level are planning,

access, action, and at the second level are leadership, teaching, relationship, resources, and learning environment. In more detail the aspects related to the components in the development of

school accountability developed in "Evaluation and Accountability" broadly based on school

data can be described as follows (Dwiningrum, 2012, 2015 ):

Table 1. Social Capital in Building School Accountability

Component	Element	School program	Social capital aspect
<i>Successful student</i>	Academic student achievement Non-academic achievement Value-adding	Diagnostic student abilities tests. Extracurricular flagship program.	Social norms that regulate clearly to determine the diagnostic students' abilities.
<i>School improvement cycle</i>	Asses data and other evidence related to student achievement and school operations' Plan to improve the standard of student achievement; and Act to implement planned strategies	Determination of the standard of excellence by the school. School strategy of improvement in national test scores. Additional lessons program Cooperation for student talent development.	Cooperation needed to carry the success of the quality improvement of schools and school programs.
<i>School operation</i>	Teaching Learning environment Leadership Resources Relationship	The school environment that conducive for learning. Teacher training in accordance with the field of study. The learning culture among peers. Build partner with various parties. The success team for the success of the program.	Cooperation and social norms required for the smooth running of school with its step-by-step program.
<i>School report</i>	Information about school performance Written with a clear sense of communicating with the local community Identified schools whose performance raises concern Validation reviewer of the standard review process School with identified area of exemplary practice, and Review of schools at the direction of the Minister or Director General.	The school makes flagship program and annual program that exposed in social media which sought to up-date every year. Schools create a profile in leaflets or website.	Building a sustainable trust that needed to sustain the existence of the school
<i>School review</i>	The school's assessment School planning The annual School Report Principal line and performance management Meeting legislative and policy compliance requirements including audit Reporting requirement of school and compliance surveys	School reports and annual program delivered in the school committee forum. The school makes flagship program offered at the school committee forum.	The program is accountable to maintain public trust.

From the description above, it can be concluded that in order to develop the school, the school accountability should be developed in a holistic manner to achieve maximum results. Based on data from this study, it concluded that the dynamics in the process depends on the dynamics of the role of all stakeholders associated with the school, such as school principals, teachers, students, educators, and school committees; with the principal as the key role. Further, based on school data, it can be concluded that the policy of the school principal is still considered to have a very strong role in establishing school accountability. Based on some interviews and observations of the principal profiles, it can be concluded that to establish the school accountability, then (Dwiningrum, 2015):

1. The school principal is responsible to the department for the performance of their schools and teachers accountable to principals on student progress.
2. The school principal, along with the school staff to undergo self-assessment process that produces an assessment of achievement standards and school effectiveness in the process of maximizing student achievement.
3. The school principal, along with school staff through the process of school planning, including school improvement plan, operational planning and classroom planning.
4. The school principal, along with school staff annually publishes school report describing the schools performance and

reports of committees special policy and program requirements.

5. The school principal, along with school staff participate in and actively respond to the school assessment process, including standard assessment and, according to the needs, an assessment carried out by the expert assessors.

The schools which have implemented some of the steps above, results to have sociologically improved quality over a period of five years. Based on data from of school, the school success is inseparably linked with the existence of social capital. Because of the success in establishing school accountability is in need of school public confidence, will encourage schools to be able to improve the delivery of education optimally. In addition, success is determined by the ability of the school accountability in increasing the intensity of school activities appropriate to the purpose the school culture. Indicators of successful school accountability are: 1) The increasing in students who have academic and non-academic achievement recognized in the national and international levels of the various fields of science; 2) The increasing recognition of the stakeholders of the flagship program featured that valued to be meaningful to students life and community; 3). The increasing of schools ability to develop and to co-operate trust capital in improving the quality of school; 4) The increasing of students admittance and acceptance ratio; 5) The increasing achievements of teachers in a variety of academic achievement.

#### 4. Conclusion

Some interesting conclusions to be discussed included the school accountability which is still need to be socialized to the development of education, particularly as an effort to improve the quality of education. School accountability is the result of work between individual and institutional aspects in synergy which has a strong motivation to be responsible for the school performance towards public in terms of the management of education to produce qualified students who excel and have character. The school accountability can be built through: successful student; school improvement cycle; school operation; school report; and school review.

School accountability in the process requires a social capital that is moving all the school elements to improve the quality of schools. The development of school accountability must be systemic and not partial

so the results are optimal. Therefore, the components associated with social capital as well: trust, cooperation and social norms; that required in the process of developing school accountability must be met in accordance with the school dynamics.

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